

|   |                      |                   |            |  |
|---|----------------------|-------------------|------------|--|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>( Not for submission under 37 CFR 1.99) | Application Number   |                   | 09802161   |  |
|   | Filing Date          |                   | 2001-03-08 |  |
|   | First Named Inventor | Keith             |            |  |
|   | Art Unit             | 3692              |            |  |
|   | Examiner Name        | Clement B. Graham |            |  |
| Attorney Docket Number  |                      | 125467            |            |  |

| U.S. PATENTS      |         |               |                        |            |   | Remove   |
|-------------------|---------|---------------|------------------------|------------|---|--|
| Examiner Initial* | Cite No | Patent Number | Kind Code <sup>1</sup> | Issue Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear |
|                   | 1       | 6944879       | B2                     | 2005-09-13 | Hirayama  |  |

If you wish to add additional U.S. Patent citation information please click the Add button.

Add

| U.S. PATENT APPLICATION PUBLICATIONS |         |                    |                        |                  |   | Remove   |
|--------------------------------------|---------|--------------------|------------------------|------------------|---|--|
| Examiner Initial*                    | Cite No | Publication Number | Kind Code <sup>1</sup> | Publication Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear |
|                                      | 1       |                    |                        |                  |   |  |

If you wish to add additional U.S. Published Application citation information please click the Add button.

Add

| FOREIGN PATENT DOCUMENTS |         |                                      |                             |                        |                  |   | Remove   |                          |
|--------------------------|---------|--------------------------------------|-----------------------------|------------------------|------------------|---|--|--------------------------|
| Examiner Initial*        | Cite No | Foreign Document Number <sup>3</sup> | Country Code <sup>2</sup> j | Kind Code <sup>4</sup> | Publication Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear | T <sup>5</sup>           |
|                          | 1       |                                      |                             |                        |                  |   |  | <input type="checkbox"/> |

If you wish to add additional Foreign Patent Document citation information please click the Add button.

Add

| NON-PATENT LITERATURE DOCUMENTS |         |   | Remove         |
|---------------------------------|---------|---|----------------|
| Examiner Initials*              | Cite No | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>5</sup> |
|                                 |         |   |                |

Receipt date: 04/28/2008

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

|                        |                   |
|------------------------|-------------------|
| Application Number     | 09802161          |
| Filing Date            | 2001-03-08        |
| First Named Inventor   | Keith             |
| Art Unit               | 3692              |
| Examiner Name          | Clement B. Graham |
| Attorney Docket Number | 125467            |

|   |   |                          |
|---|---|--------------------------|
| 1 | U.S. Securities and Exchange Commission, "Special Study: Payment for Order Flow and Internalization in the Options Markets," Office of Compliance Inspections and Examinations/Office of Economic Analysis, December 2000, < <a href="http://www.sec.gov/news/studies/ordpay.htm">http://www.sec.gov/news/studies/ordpay.htm</a> > [retrieved March 25, 2008], pages 1 and 12-14. | <input type="checkbox"/> |
|---|---|--------------------------|

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

|                    |                  |                 |            |
|--------------------|------------------|-----------------|------------|
| Examiner Signature | /Clement Graham/ | Date Considered | 09/02/2008 |
|--------------------|------------------|-----------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.